



Section 8  
#3

PATENT  
450100-4982

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Akira OGINO et al.  
Serial No. : 09/351,399  
Filed : July 13, 1998  
For : INFORMATION-SIGNAL PLAYBACK SYSTEM,  
INFORMATION-SIGNAL READING APPARATUS,  
INFORMATION -SIGNAL PROCESSING APPARATUS,  
INFORMATION-SIGNAL PLAYBACK METHOD,  
INFORMATION-SIGNAL READING METHOD AND  
INFORMATION-SIGNAL PROCESSING APPARATUS  
Art Unit : 2753

745 Fifth Avenue  
New York, New York 10151  
Tel. (212) 588-0800

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as  
first class mail in an envelope addressed to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231, on September 17, 1999

*for* GORDON KESSLER #38,571  
William S. Frommer, Reg. No. 25,506  
Name of Applicant, Assignee or  
Registered Representative

*Gordon Kessler*  
Signature

September 17, 1999  
Date of Signature

COMMUNICATION

Assistant Commissioner for Patents  
Attn: Box Missing Parts  
Washington, D.C. 20231

Sir:

Enclosed herewith is a copy of the "Notice to File  
Missing Parts of Application" (form PTO-1533) dated August 13,  
1999 on the above application, a Declaration duly signed by the  
inventors, and a check in the amount of the required \$130.00

PATENT  
450100-4982

surcharge. By separate cover, we are filing the Assignment and the \$40.00 fee for recording same.

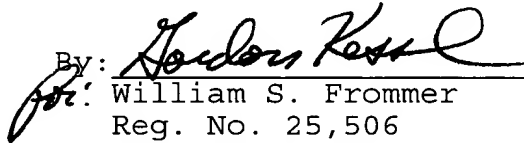
Please charge any additional fees incurred or credit any overpayment to Deposit Account No. 50-0320.

In view of the foregoing, it is believed that the identified application is now complete. Early examination of the application on its merits is solicited.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP  
Attorneys for Applicants

*GORDON KESSLER #38,571*

By:   
For: William S. Frommer  
Reg. No. 25,506  
Tel. (212) 588-0800

Enclosure



## UNITED STATES DEPARTMENT OF COMMERCE

## Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/351,399 07/13/99 OGINO

A 450100-4982

0242/0813

WILLIAM S FROMMER ESQ  
FROMMER LAWRENCE & HAUG LLP  
745 FIFTH AVENUE  
NEW YORK NY 10151

NOT ASSIGNED

2753

DATE MAILED:

08/13/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

☐ 1. The statutory basic filing fee is:

- ☐ missing.
- ☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.
- ☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee, is required since your check was returned without payment (37 CFR 1.21(m)).☐ 7. Your filing receipt was mailed in error because your check was returned without payment.☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

FORM PTO-1533 (REV. 9/98)

**PART 2 - COPY TO BE RETURNED WITH RESPONSE**

BEST AVAILABLE COPY

09/22/1999 RTSGATE 00000105 09351399 130.00 DP  
01 C1105  
U.S. PAT. & T.M. OFF. 446-824



FILE COPY Receipt

PATENT  
450100-4982

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Akira OGINO et al.  
Serial No. : 09/351,399  
Filed : July 13, 1998  
For : INFORMATION-SIGNAL PLAYBACK SYSTEM, INFORMATION-SIGNAL READING APPARATUS, INFORMATION -SIGNAL PROCESSING APPARATUS, INFORMATION-SIGNAL PLAYBACK METHOD, INFORMATION-SIGNAL READING METHOD AND INFORMATION-SIGNAL PROCESSING APPARATUS  
Art Unit : 2753

745 Fifth Avenue  
New York, New York 10151  
Tel. (212) 588-0800

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231, on 9/17, 1999  
*for: Gordon Kessler #38,571*  
William S. Frommer, Reg. No. 25,506

Name of Applicant, Assignee or  
Registered Representative

*Gordon Kessler*

Signature

9/17, 1999

Date of Signature

RECEIVED  
OCT 22 1999  
TECH CENTER 2700

REQUEST FOR CORRECTED FILING RECEIPT

Application Processing Division  
Customer Correction Branch  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This is a Request to correct the Filing Receipt issued in the above-identified application.

Under Foreign Applications:

Please change "01/15/98" to --07/15/98--.

The foregoing changes are needed to correct inadvertent errors, as evidenced by the Declaration submitted with the parent patent application. A copy of the Filing Receipt with the requested correction(s) noted thereon in red ink is enclosed.

The issuance of a corrected Filing Receipt is respectfully requested.

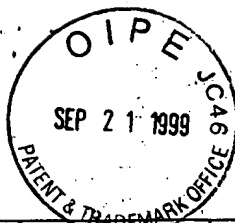
Please charge any fees required for this correction or credit any overpayment to Deposit Account No. 50-0320.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP  
Attorneys for Applicants

GORDON KESSLER #38,571

By: Gordon Kessler  
for: William S. Frommer  
Reg. No. 25,506  
Tel. (212) 588-0800

FILING RECEIPT  
CORRECTEDUNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/351,399	07/13/99	2753	\$2,218.00	450100-4982	9	62	12

WILLIAM S FROMMER ESQ  
FROMMER LAWRENCE & HAUG LLP  
745 FIFTH AVENUE  
NEW YORK NY 10151

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) AKIRA OGINO, TOKYO, JAPAN; YUJI KIMURA, KANAGAWA, JAPAN;  
TADASHI EZAKI, TOKYO, JAPAN; TERUHIKO KORI, KANAGAWA,  
JAPAN.

FOREIGN APPLICATIONS- JAPAN

10-200264

01/15/98

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 08/10/99

TITLE

INFORMATION-SIGNAL PLAYBACK SYSTEM, INFORMATION-SIGNAL READING  
APPARATUS, INFORMATION-SIGNAL PROCESSING APPARATUS,  
INFORMATION-SIGNAL PLAYBACK METHOD, INFORMATION-SIGNAL READING METHOD  
AND INFORMATION-SIGNAL PROCESSING APPARATUS

PRELIMINARY CLASS: 369

DOCKETED

TECH CENTER 2700

OCT 22 1999

RECEIVED

DATA ENTRY BY: HOPKINS, DENISE TEAM: 04 DATE: 08/11/99

(See reverse for new important information)

FILE COPY

SERIAL NUMBER 09/351,399	FILING DATE 07/13/99	CLASS 369	GROUP ART UNIT 2753	ATTORNEY DOCKET NO. 450100-4982
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APPLICANT  
AKIRA OGINO, TOKYO, JAPAN; YUJI KIMURA, KANAGAWA, JAPAN; TADASHI EZAKI,  
TOKYO, JAPAN; TERUHIKO KORI, KANAGAWA, JAPAN. #5

\*\*CONTINUING DOMESTIC DATA\*\*\*\*\*  
VERIFIED

\_\_\_\_\_  
 \*\*371 (NAT'L STAGE) DATA\*\*\*\*\*  
 VERIFIED

\_\_\_\_\_  
 \*\*FOREIGN APPLICATIONS\*\*\*\*\*  
 VERIFIED JAPAN 10-200264 07/15/98

\_\_\_\_\_  
 IF REQUIRED, FOREIGN FILING LICENSE GRANTED 08/10/99

Foreign Priority claimed 35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance	STATE OR COUNTRY JPX	SHEETS DRAWING 9	TOTAL CLAIMS 62	INDEPENDENT CLAIMS 12
Verified and Acknowledged Examiner's Initials _____ Initials _____					

ADDRESS  
WILLIAM S FROMMER ESQ  
FROMMER LAWRENCE & HAUG LLP  
745 FIFTH AVENUE  
NEW YORK NY 10151

TITLE  
INFORMATION-SIGNAL PLAYBACK SYSTEM, INFORMATION-SIGNAL READING  
APPARATUS, INFORMATION-SIGNAL PROCESSING APPARATUS,  
INFORMATION-SIGNAL PLAYBACK METHOD, INFORMATION-SIGNAL READING METHOD  
AND INFORMATION-SIGNAL PROCESSING APPARATUS

FILING FEE RECEIVED  \$2,348	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT NO. _____ for the following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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